

Receipt Date: 10/16/2006

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PTO/SB/21 (09-06)  
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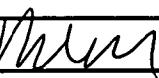
## TRANSMITTAL FORM

*(to be used for all correspondence after initial filing)*

<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/828,997	
	Filing Date	April 20, 2004	
	First Named Inventor	David W. Caldwell	
	Art Unit	3729	
	Examiner Name	Carl J. Arbes	
Total Number of Pages in This Submission	35	Attorney Docket Number	37041-11481

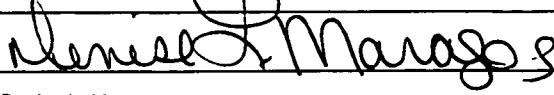
ENCLOSURES <i>(Check all that apply)</i>			
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____  <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Four References 2. International Preliminary Examination Report 3. Postcard	<input type="checkbox"/> Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Jenner & Block LLP		
Signature			
Printed name	Mark P. Vrla		
Date	October 12, 2006	Reg. No.	43,973

### CERTIFICATE OF TRANSMISSION/MAILING

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Typed or printed name	Denise L. Maragos	Date	October 12, 2006

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10828997 - GAU: 3729

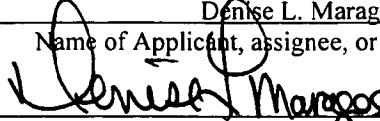


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PATENT  
Attorney Docket  
37041-11481

Denise L. Maragos

Name of Applicant, assignee, or Registered Rep.

 October 12, 2006

Signature

Date

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: David W. Caldwell, et al.

Serial No: 10/828,997

Filed: April 20, 2004

Title **SUBSTRATE WITH MULTIPLE CONDUCTIVE LAYERS AND METHODS FOR MAKING AND USING SAME**

Group Art Unit: 3729

Examiner: Carl J. Arbes

### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and in compliance with 37 C.F.R. § 1.56, the Office's attention is directed to the references listed on the attached PTO/SB/08A and B. A copy of each listed document is enclosed, including, as applicable, an English language abstract indicating the relevance of the document.

The undersigned hereby certifies that each item of information contained in this Statement was first cited by the international searching authority in connection with a corresponding international application not more than three months before the filing of this Statement. Applicant believes that this Statement is being filed before the mailing of an action closing prosecution on the merits. In view of the above, and pursuant to 37 C.F.R. § 1.97(c), Applicant believe that no fee is required for the consideration for this Statement. In the event Applicant is mistaken and the Office deems that the fee set forth in 37 C.F.R. § 1.17(p) is due, the Office is authorized to charge such fee to Deposit Account No. 10-0460.

Respectfully submitted,



Mark P. Vrla  
Registration No. 43,973

Dated: October 12, 2006

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Facsimile No: (312) 527-0484

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10828997 - GAU: 3729

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**Substitute for form 1449/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

**(Use as many sheets as necessary)**

Sheet 1 of 2

<b>Complete if Known</b>	
Application Number	10/828,997
Filing Date	April 20, 2004
First Named Inventor	David W. Caldwell
Art Unit	3729
Examiner Name	Carl J. Arbes
Attorney Docket Number	37041-11481

## U. S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		JP 02-067522	03/1990	Hayaji et al.		
		JP 04-032195	02/1992	Yamamoto et al.		
		JP 04-069979	03/1992	Yoritomi et al.		
		JP 07-140487	06/1995	Masaaki et al.		

Examiner Signature	/Carl Arbes/	Date Considered	11/3/09
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

Translation is attached.  
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<p>Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.</p> <p><b>Complete if Known</b></p> <p>Substitute for form 1449/PTO</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p><i>(Use as many sheets as necessary)</i></p>			
		<b>Application Number</b>	10/828,997
		<b>Filing Date</b>	April 20, 2004
		<b>First Named Inventor</b>	David W. Caldwell
		<b>Art Unit</b>	3729
		<b>Examiner Name</b>	Carl J. Arbes
<b>Sheet</b>	2	<b>of</b>	2
		<b>Attorney Docket Number</b>	37041-11481

## NON-PATENT LITERATURE DOCUMENTS

Examiner Signature	/Carl Arbes/	Date Considered	11/3/09
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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